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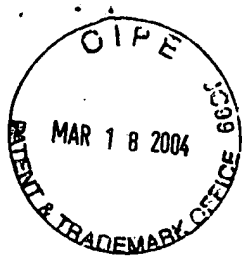
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3-29-04  
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C/1634  
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PATENT  
Attorney Docket No. 302720

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Malcolm J. SIMONS

Application No. 09/935,998

Filed: August 23, 2001

For: INTRON SEQUENCE ANALYSIS METHOD FOR  
DETECTION OF ADJACENT AND REMOTE LOCUS  
ALLELES AS HOPLOTYPES

Examiner: Bradley L. SISSON

Art Unit: 1634

Confirmation No.: 1983

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited  
with the United States Patent and Trademark Office by  
Express Mail Label No. EL971196035US on the date shown  
below:

*Cynthia M. Sullivan* 3-18-04  
Cynthia M. Sullivan Date

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**  
Under 37 C.F.R. § 1.97(c)

Sir:

In accordance with 37 CFR 1.56, the references listed on the attached Information Disclosure Citation Form PTO-1449 or PTO/SB/08 are being brought to the attention of the Examiner for consideration in connection with the examination of the above-identified patent application. In submitting these references, no representation is made or implied that the references are or are not material to the examination of the application. The Examiner is encouraged to make his or her own determination of materiality. Copies of all the documents cited are enclosed herewith. Also provided for the convenience of the Examiner are copies of Information Disclosure Statements or Supplemental Information Disclosure Statements submitted on August 23, 2001 and July 24, 2003, which have not been received back as

Application No. 09/935,998  
Attorney Docket No. 302720

examiner-initialed copies. If the cited documents are not in the USPTO file, Applicant will be happy to provide copies.

Pursuant to 37 CFR 1.97(c) the Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Enclosed is a credit card payment for \$180.00 to cover the fee as set forth in 37 CFR 1.17(p). Any deficiency or overpayment in the fee may be applied to Deposit Account 06-0029.

Dated: 4/18/04

Respectfully submitted,



Richard A. Nakashima  
Registration No. 42,023  
Attorney for Applicant

FAEGRE & BENSON LLP  
3200 Wells Fargo Center  
1700 Lincoln Street  
Denver, CO 80203-4532

RAN:sulcm  
Enclosures

# FEE TRANSMITTAL for FY 2004

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$) 180.00

## Complete if Known

Application Number 09/935,998  
Filing Date August 23, 2001  
First Named Inventor Malcolm J. SIMONS  
Examiner Name Bradley L. SISSON  
Group / Art Unit 1634  
Attorney Docket No. 302720

## METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit card ☐ Money ☐ Other ☐ None  
Order

☒ Deposit Account:

Deposit Account Number 06-0029

Deposit Account Name Faegre & Benson LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
<b>SUBTOTAL (1)</b>					(\$0)

### 2. EXTRA CLAIM FEES

Total Claims	0	-20 **	=	0	X	18	=	0
Independent Claims	0	-3 **	=	0	X	86	=	0
Multiple Dependent					X		=	0

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$0)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

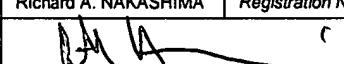
Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$180.00)

## SUBMITTED BY

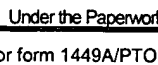
## Complete (if applicable)

Name (Print/Type) Richard A. NAKASHIMA Registration No. Attorney/Agent 42,023 Telephone (303) 607-3500  
Signature  Date March 18, 2004

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(use as many sheets as necessary)*

Sheet

of

Application Number

**Complete if Known**

Filing Date

08/23/2001

First Named Inventor

**Malcolm J. Simons**

### Art Unit

1634

**Examiner Name**

Not Yet Assigned

Attorney Docket Number

59195-302720 (005493.P001)

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> ( <i>if known</i> )				
		WO 90/02818	03/22/90	Lifecodes Corporation		
		WO 90/12891	11/01/90	Genmap, Inc.		
		AU-A-16727/88	05/29/87	City of Hope Med Centre		

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**



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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

of

**Complete if Known**

Application Number	09/935,998
Filing Date	08/23/2001
First Named Inventor	Malcolm J. Simons
Group Art Unit	1634
Examiner Name	Not Yet Assigned
Attorney Docket Number	59195-302720 (005493.P001)

**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		H. FUNKE, et al., Synthetic 45 Base Oligodeoxynucleotide Representing A Sequence From the 18th Exon Of The LDL Receptor Gene, 1986, Page 7820, Volume 14 Number 19, IRL Press Limited, Oxford, England,	
		MICHAEL BAIRD, et al., A Nucleotide Change At A Splice Junction In The Human $\beta$ -Globin Gene Is Associated With $\beta^0$ -Thalassemia, July 1981, pp. 4218-4221, Volume 78 Number 7, Proc. Natl. Acad. Sci. USA,	
		COLEMAN, et al., Chemical Abstracts, September 15, 1986, pp. 175-176, Volume 105 Number 11, Chemical Abstracts Service-The American Chemical Society	
		ROGER T. COLEMAN, et al. Polymorphisms In The Apolipoprotein AI0CIII Gene Complex, 1986, pp. 213-228, Mol. Biol. Med. (1986) 3, 1986 Academic Press Inc. (London) Ltd.	
		DAVID BOTSTEIN, et al., Construction Of A Genetic Linkage Map In Man Using Restriction Fragment Length Polymorphisms, 1980, pp. 314-331, Am J. Hum Genet 32, 1980 American Society of Human Genetics	
		STUART H. ORKIN, et al., Nonsense And Frameshift Mutations In $\beta^0$ -Thalassemia Detected In Cloned $\beta$ -Globin Genes, October 10, 1981, pp. 9782-9784, Volume 256, Number 19, The Journal Of Biological Chemistry USA	
		GUALBERTO RUANO, et al., Haplotype Of Multiple Polymorphisms Resolved By Enzymatic Amplification Of Single DNA Molecules, August 1990, pp. 6296-6300, Volume 87, Proc. Natl. Acad. Sci USA	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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SEP 17 2001

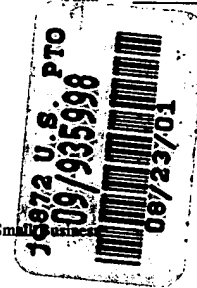
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN, LLP  
DENVER

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
LOS ANGELES

Serial/Patent No.: Unassigned Filing/Issue Date: Concurrently  
Client: Genetic Technologies  
Title: Intron Sequence Analysis Method For Detection of Adjacent  
and Remote Locus Alleles as Haplotypes  
BSTZ File No.: 05493.P001 Atty/Secty Initials: MAD/fr  
Date Mailed: 8-23-01 Docket Due Date: \_\_\_\_\_

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| <input type="checkbox"/> Amendment/Response (____ pgs.)  | <input type="checkbox"/> Express Mail No.: _____  | <input checked="" type="checkbox"/> Check No. <u>1829</u> |
| <input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)                                    | <input type="checkbox"/> _____ Month(s) Extension of Time                                       | Amt: <u>\$800.00</u>                                      |
| <input checked="" type="checkbox"/> Application - Utility ( <u>99</u> pgs., with cover and abstract) | <input checked="" type="checkbox"/> Information Disclosure Statement & PTO-144 ( <u>3</u> pgs.) | <input type="checkbox"/> Check No. _____                  |
| <input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)                         | <input type="checkbox"/> Issue Fee Transmittal  | Amt: _____  |
| <input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)                           | <input type="checkbox"/> Notice of Appeal   |   |
| <input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)                                  | <input type="checkbox"/> Petition for Extension of Time   |   |
| <input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)                      | <input type="checkbox"/> Petition for _____   |   |
| <input type="checkbox"/> Application - Design (____ pgs.)  | <input checked="" type="checkbox"/> Postcard  |   |
| <input type="checkbox"/> Application - PCT (____ pgs.)   | <input type="checkbox"/> Power of Attorney (____ pgs.)  |   |
| <input type="checkbox"/> Application - Provisional (____ pgs.)                                       | <input type="checkbox"/> Preliminary Amendment (____ pgs.)                                      |   |
| <input type="checkbox"/> Assignment and Cover Sheet  | <input type="checkbox"/> Reply Brief (____ pgs.)  |   |
| <input checked="" type="checkbox"/> Certificate of Mailing   | <input type="checkbox"/> Response to Notice of Missing Parts                                    |   |
| <input checked="" type="checkbox"/> Declaration & POA ( <u>1</u> pgs.)                               | <input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business            |   |
| <input type="checkbox"/> Disclosure Docs & Orig & Copy of Inventions Signed Letter (____ pgs.)       | <input checked="" type="checkbox"/> Transmittal Letter, in duplicate                            |   |
| <input type="checkbox"/> Drawings: _____ # of sheets includes _____ figures                          | <input checked="" type="checkbox"/> Fee Transmittal, in duplicate                               |   |



☒ Other: Express Mail Certification; Cited Art: 1 patent, 6 articles

Due date: <u>11/23/2001</u>	Client Name: <u>Genetic Technologies Limited</u>	Due date: <u>2/23/2002</u>	Client Name: <u>Genetic Technologies Limited</u>
Docket Initial: <u>ME</u>	5493 . p001	Docket Initial: <u>ME</u>	5493 . p001
Dock. Sup. Initial: <u>ME</u>		Dock. Sup. Initial: <u>ME</u>	
Atty/Initial: <u>MAD</u>		Atty/Initial: <u>MAD</u>	
Pat/Ser/Reg: <u>935,998</u>	19	Pat/Ser/Reg: <u>935,998</u>	20

Description

3 month deadline to file prior art disclosure and check related cases  
(based on filed US application).

9/6/2001 Michelle Edmund

Due date: <u>5/23/2002</u>	Client Name: <u>Genetic Technologies Limited</u>	Due date: <u>7/23/2002</u>	Client Name: <u>Genetic Technologies Limited</u>
Docket Initial: <u>ME</u>	5493 . p001	Docket Initial: <u>ME</u>	5493 . p001
Dock. Sup. Initial: <u>ME</u>		Dock. Sup. Initial: <u>ME</u>	
Atty/Initial: <u>MAD</u>		Atty/Initial: <u>MAD</u>	
Pat/Ser/Reg: <u>935,998</u>	21	Pat/Ser/Reg: <u>935,998</u>	21r

Description

Description

Our Docket No: 05493.P001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	)	
	)	
Malcolm J. Simons	)	Examiner: Unassigned
	)	
Application No: Unassigned	)	Art Unit: Unassigned
	)	
Filed: Concurrently	)	
	)	
For: Intron Sequence Analysis Method	)	
For Detection of Adjacent and	)	
Remote Locus Alleles as Haplotypes	)	

Assistant Commissioner for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231 on

August 23, 2001

(Date of Deposit)

Fran C. Rolfsen

(Typed or printed name of person mailing correspondence)

*Fran C. Rolfsen*

(Signature of person mailing correspondence)



Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

  X   37 C.F.R. §1.97(b).

       37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following.

       A statement pursuant to 37 C.F.R. §1.97(e) or

       A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

       37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:

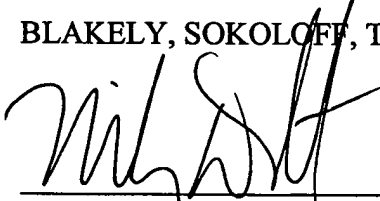
- (1) A statement pursuant to 37 C.F.R. §1.97(e); and
- (2) A check for \$180.00 for the fee under 37 C.F.R. §1.17(p) for submission of the Information Disclosure Statement.

If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 8/23/01

  
\_\_\_\_\_  
Michael A. DeSanctis  
Reg. No. 39,957

12400 Wilshire Blvd.  
Seventh Floor  
Los Angeles, CA 90025-1026  
(303) 740-1980

<b>US Department of Commerce Patent and Trademark Office</b>  <b>Form PTO-1449 (Modified)</b>		<b>Atty. Docket No.:</b> 05493.P001		<b>Application No.:</b> Unassigned			
		<b>Applicant:</b> Malcolm J. Simons					
		<b>Filing Date:</b> Concurrently					
<b>US Patent Documents</b>							
<b>Examiner's Initials</b>		<b>Date</b>	<b>Document Number</b>	<b>Name</b>	<b>Class</b>	<b>Sub- Class</b>	<b>Filing Date</b>
		05/10/94	5,310,893	Erlich, et al.			
<b>Foreign Patent Documents</b>							
<b>Examiner's Initials</b>		<b>Date</b>	<b>Document Number</b>	<b>Country</b>	<b>Class</b>	<b>Sub- Class</b>	<b>Translation</b>
<b>Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
		Guardiola, John et al., "Molecular genotyping of the HLA-DQ $\alpha$ gene region", Immunogenetics, 27:12-18 (1988).					
		Kutsch, K., et al., "Sequencing of HLA class I genes based on the conserved diversity of the noncoding regions: sequencing based typing of the HLA-A gene", Tissue Antigens, 1997:50:178-191.					
		Wong, Corinne, et al., "Characterization of $\beta$ -thalassaemia mutations using direct genomic sequencing of amplified single copy DNA", Nature, Vol. 330 26 November 1987.					
		Kazazian, Haig H., Jr., et al., "Molecular Basis and Prenatal Diagnosis of $\beta$ -Thalassemia", Blood, Vol. 72, No. 4 (October) 1988, pp. 1107-1116.					
		Cereb, Nezih, et al., "Locus-specific conservation of the HLA class I introns by intra-locus homogenization", Immunogenetics, 47:30-36 (1997).					
		Scharf, Stephen J., et al., "Direct Cloning and Sequence Analysis of Enzymatically Amplified Genomic Sequences", Science, Vol. 233, pp. 1076-1078 (September 5, 1986).					
<b>Examiner</b>				<b>Date Considered</b>			

Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw a line through the citation if not in conformance and not considered. Include a copy of this form with the next communication to the applicant

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AUG 01 2003

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LOS ANGELES

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AUG 05 2003  
By \_\_\_\_\_

Serial/Patent No.: 09/1935,998 Filing/Issue Date: August 23, 2001  
Client: Genetic Technologies Ltd.  
Title: Method for detection of adjacent and remote locus alleles as haplotypes  
BSTZ File No.: 003493.P001 Atty/Secty Initials: RAN/LEA  
Date Mailed: July 24, 2003 Docket Due Date: \_\_\_\_\_  
The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

<input type="checkbox"/> Amendment/Response (____ pgs.)	<input type="checkbox"/> Express Mail No.:	<input type="checkbox"/> Check No.:
<input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)	<input type="checkbox"/> Month(s) Extension of Time	Amt: _____
<input type="checkbox"/> Application - Utility (____ pgs., with cover and abstract)	<input checked="" type="checkbox"/> <u>Supplemental</u> Information Disclosure Statement & PTO 1449 (____ pgs.)	<input type="checkbox"/> Check No.:
<input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)	<input type="checkbox"/> Issue Fee Transmittal	Amt: _____
<input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)	<input type="checkbox"/> Notice of Appeal	
<input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)	<input type="checkbox"/> Petition for Extension of Time	
<input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)	<input type="checkbox"/> Petition for _____	
<input type="checkbox"/> Application - Design (____ pgs.)	<input checked="" type="checkbox"/> Postcard	
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<input type="checkbox"/> Application - Provisional (____ pgs.)	<input type="checkbox"/> Preliminary Amendment (____ pgs.)	
<input type="checkbox"/> Assignment and Cover Sheet	<input type="checkbox"/> Reply Brief (____ pgs.)	
<input checked="" type="checkbox"/> Certificate of Mailing	<input type="checkbox"/> Response to Notice of Missing Parts	
<input type="checkbox"/> Declaration & POA (____ pgs.)	<input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business	
<input type="checkbox"/> Disclosure Docs & Orig. & Copy of Inventor's Signed Letter (____ pgs.)	<input type="checkbox"/> Transmittal Letter, in duplicate	
<input checked="" type="checkbox"/> Drawings: _____ # of sheets includes _____ figures	<input type="checkbox"/> Fee Transmittal, in duplicate	

☒ Other: 2 Cited References



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Our Docket No: 005493.P001

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Malcolm J. Simons

Application No.: 09/935,998

Filed: August 23, 2001

For: Intron Sequence Analysis Method  
For Detection of Adjacent and  
Remote Locus Alleles as Haplotypes

Examiner: Not yet assigned

Art Unit: 1655

FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that I am causing the above-referenced correspondence to be deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and that this paper or fee has been addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date of Deposit: July 24, 2003

Name of Person Mailing Correspondence: Lori E. True

Lori E. True

Signature

July 24, 2003  
Date

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, the references listed on the enclosed Form PTO-1449 are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form PTO-1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form PTO-1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

Further, the submission of the references is not to be taken as a concession that any reference represents art that is relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

Docket No.: 005493.P001  
Application No.: 09/935,998

**The Information Disclosure Statement is being filed:**

- ☒ (a) within three months of the filing date of the patent application, (b) within three months of the date of entry into the national stage as set forth in 37 C.F.R. § 1.491 of the international application, or (c) before the mailing date of a first Office Action on the merits, or (d) before the mailing date of a First Office Action after the filing of a request for continued examination under § 1.114.
- ☐ after (a), (b), (c) or (d) above, but before the mailing date of a final action under 37 C.F.R. § 1.113 or a Notice of Allowance under 37 C.F.R. § 1.311, and includes:
- ☐ the Certification under 37 C.F.R. § 1.97(e) (see "Certification" below).
- ☐ the fee of \$180 set forth in 37 C.F.R. § 1.17(p) (see "Fees" below).
- ☐ after the mailing date of a final action under 37 C.F.R. § 1.113 or a Notice of Allowance under 37 C.F.R. § 1.311, and includes the Certification under 37 C.F.R. § 1.97(e) (see "Certification" below), a Petition requesting consideration of the Information Disclosure Statement (see "Petition" below), and the Petition Fee set forth in 37 C.F.R. § 1.17(i) (see "Fees" below).

**Copies Of The References**

- ☒ Copies of certain references listed on the enclosed Form PTO-1449 are enclosed herewith. Attached to each reference not in the English language is a concise explanation of the relevance pursuant to 37 C.F.R. § 1.98(a)(3).
- ☐ A copy of the foreign search report is enclosed herewith.
- ☐ Some of the references listed on the enclosed Form PTO-1449 were previously identified in the parent application of the present application, and copies of the references were furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with 37 C.F.R. § 1.98(d), the details of the parent application(s) relied upon for an earlier filing date under 35 U.S.C. § 120 in which copies of the references were previously furnished are set out below:

U.S. APPLICATIONS		Status (check one)		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED

## Other Applications

- ☐ The Examiner's attention is directed to the following U.S. patent application(s):

U.S. APPLICATIONS		Status (check one)		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED

## Certification

- ☐ The undersigned attorney hereby certifies that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.
- ☐ The undersigned attorney hereby certifies that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application or, to the knowledge of the attorney signing after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

## Petition

- ☐ The undersigned attorney hereby petitions the Commissioner to consider this Information Disclosure Statement and the references listed on the enclosed Form PTO-1449 in the examination of the above-identified patent application.

## Fees

- ☒ No fee is owed by the applicant(s).
- ☐ The IDS Fee of \$180.00 under 37 C.F.R. § 1.17(p) is enclosed herewith.
- ☐ The Petition Fee of \$130.00 set forth in 37 C.F.R. § 1.17(i) is enclosed herewith.

## Method Of Payment Of Fees

- ☐ Attached is a check in the amount of \$ 180.00
- ☐ Charge Deposit Account No. 02-2666 in the amount of \$. (A duplicate copy of this communication is enclosed for that purpose.)

## Authorization To Charge Additional Fees

- ☒ If any additional fees are owed in connection with this communication, please charge Deposit Account No. 02-2666. (A duplicate copy of this communication is enclosed for that purpose.)


**Instructions As To Overpayment**

- ☒ Credit Account No. 02-2666.  
☐ Refund

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: July 24 2003

  
Richard A. Nakashima  
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12400 Wilshire Blvd., 7th Floor  
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Substitute for form 1449A/PTO (modified) <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)				<b>Complete If known</b>	
				Application Number	09/935,998
				Filing Date	August 23, 2001
				First Named Inventor	Malcolm J. Simons
				Group Art Unit	1655
				Examiner Name	Not yet assigned
Sheet	1	of	1	Attorney Docket Number	005493.P001

**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		AMSELEM, et al., "Determination of the Spectrum of $\beta$ -Thalassemia Genes in Spain by Use of Dot-Blot Analysis of Amplified $\beta$ -Globin DNA," <i>Am. J. Hum. Genet.</i> 43:095-100, 1988.	
		DI MARZO, et al., "The Spectrum of $\beta$ -Thalassaemia Mutations in Sicily," <i>British Journal of Haematology</i> , 69, 393-397, 1988.	

Examiner Signature		Date Considered	
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.			